

U.S. DEPARTMENT OF THE INTERIOR Employee Performance Appraisal Plan

Employee Name and Social Security Number:		Title/Series/Grade:	
Duty Station:	Appraisal Period:	From:	To:

Part A: Notification of Standards: *Signatures certify that critical elements and performance standards were discussed. Critical elements and performance standards are contained in Part E.*

Employee:	Rating Official:	Reviewing Official (if applicable*):
Date:	Date:	Date:

*If determined by Bureau/Office

Part B: Progress Review: *Signatures certify that performance was discussed.*

Employee:	Date:	Rating Official:	Date:
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Part C: Summary Rating Determination: To determine a summary rating, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: **Exceptional = 5 points; Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points.**) See reverse for complete instructions for assigning a Summary Rating.

Element Number	Numerical Rating
1	
2	
3	
4	
5	
Total:	

Total Numerical Rating _____ ÷ Number of Elements _____ = Numeric Summary Rating _____

Part D: Overall Summary Rating: Use conversion chart below to determine Summary Rating. Check the appropriate box:

Exceptional	4.6 – 5.00 AND No critical element rated lower than "Superior".
Superior	3.6 – 4.59 AND No critical element rated lower than "Fully Successful".
Fully Successful	3.0 – 3.59 AND No critical element rated lower than "Fully Successful".
Minimally Successful	2.0 – 2.99 AND No critical element rated lower than "Minimally Successful".
Unsatisfactory	One or more critical elements rated "Unsatisfactory".

Employee:	Rating Official:	Reviewing Official: (if applicable):
Date:	Date:	Date:

Check here if Interim Rating: _____ Performance Award: _____ Cash _____ QSI _____ Time Off _____

Performance Award: QSI _____ Cash: \$ _____ or _____% of pay Time Off _____

Employee's Signature above certifies that the overall summary rating was discussed. Reviewing Official's signature is required for Exceptional, Minimally Successful and Unsatisfactory ratings, and otherwise if determined by Bureau/Office.

Instructions for Completing the Employee Performance Appraisal Plan

Establishing Critical Elements and Performance Standards

Critical elements (at least one, but no more than five) should be established for each employee at the start of the performance year. Through these elements, employees are held accountable for work assignments and responsibilities of their position. A critical element is an assignment or responsibility of such importance that Unsatisfactory performance in that element alone would result in a determination that the employee's overall performance is Unsatisfactory. Please see the Performance Appraisal Handbook for more detailed information.

Performance standards are expressions of the performance threshold(s), requirement(s), or expectation(s) that must be met for each element at a particular level of performance. They must be focused on results and include credible measures. You may use the Benchmark Performance Standards from the Performance Appraisal Handbook (in conjunction with individually established performance standards) to describe, for each element, credible measures such as quality, quantity, timeliness and/or cost effectiveness, for at least the "Fully Successful" level. Rating officials are strongly encouraged to develop performance standards at additional levels, to ensure that the employee has a clear understanding of the level of performance expected. *At least one, and preferably all, critical elements must show how the element is linked to strategic goals, such as Government Performance Results Act (GPRA) or mission related goals of the organization. These goals should be aligned throughout the organization (i.e., show how the strategic goal cascades from the SES down to the lowest non-supervisory levels.) The employee should be able to clearly understand how the results they are held responsible for are linked to the results that those in their supervisory/managerial chain are held responsible for.*

Progress Reviews

A progress review should be conducted at approximately mid-way through the rating period. Part B should be completed after the progress review. Any written feedback or recommended training can be noted on a separate sheet and attached to the employee performance appraisal plan.

Assigning the Summary Rating

A specific rating is required for each critical element to reflect the level of performance demonstrated by the employee throughout the rating period. Only one numerical rating level is assigned for each critical element. Before the rating official assigns a summary rating, he/she should consider all interim summary ratings received for the employee during the annual appraisal period. The summary rating is assigned as follows:

- A. Review the employee performance appraisal plan and assess how the employee performed relative to the described performance standards.
- B. Appropriately document the employee's performance with a narrative summary that describes the employee's achievements for the critical elements as compared to the performance standards. A narrative must be written for each critical element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory. This narrative should contain examples of the employee's performance that substantiate and explain how the employee's performance falls within the level assigned. There is a block provided for the narrative summary for each critical element.
- C. In Part C of this form, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: Exceptional = 5 points, Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points).
- D. Add up the numerical rating levels to get a total.
- E. Divide the total by the number of critical elements to get an average. (Elements that are "not rated" because an employee has not had a chance to perform them during the rating year are not assigned any points and should not be used to determine the average rating.)
- F. Assign the employee a summary rating based on the table in Part D of this form.

Note: Whenever an employee is rated "**Unsatisfactory**" on one or more critical elements, the overall rating **must** be "**Unsatisfactory**" (regardless of total points). **The rating official should immediately contact the servicing human resources office.** Whenever an employee is rated "**Minimally Successful**" on one or more critical elements, the overall rating may not be higher than "**Minimally Successful**" (regardless of total points).

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

Critical Element 1:	GPRA/Strategic Goal: Performance Measure:
Performance Standards	
Exceptional	
Superior	
Fully Successful	(Must describe measurable, results-oriented criteria)
Minimally Successful	
Unsatisfactory	

Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 1:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

Critical Element 2:	GPRA/Strategic Goal: Performance Measure:
Performance Standards	
Exceptional	
Superior	
Fully Successful	(Must describe measurable, results-oriented criteria)
Minimally Successful	
Unsatisfactory	

Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 2:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

Critical Element 3:	GPRA/Strategic Goal: Performance Measure:
Performance Standards	
Exceptional	
Superior	
Fully Successful	(Must describe measurable, results-oriented criteria)
Minimally Successful	
Unsatisfactory	

Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 3:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

Critical Element 4:	GPRA/Strategic Goal: Performance Measure:
Performance Standards	
Exceptional	
Superior	
Fully Successful	(Must describe measurable, results-oriented criteria)
Minimally Successful	
Unsatisfactory	

Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 4:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

Critical Element 5:	GPRA/Strategic Goal: Performance Measure:
Performance Standards	
Exceptional	
Superior	
Fully Successful	(Must describe measurable, results-oriented criteria)
Minimally Successful	
Unsatisfactory	

Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 5:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Privacy Act Notice: Chapter 43 of Title 5, U.S.C., authorizes collection of this information. The primary use of this information is by management and your servicing human resources office to issue and record your performance rating. Additional disclosures of this information may be: To MSPB, Office of Special Counsel, EEOC, the FLRA, or an arbitrator in connection with administrative proceedings; to the Department of Justice or other Federal agency, courts, or party to litigation when the Government is a party to or has an interest in the judicial or administrative proceeding; to a congressional office in response to an inquiry made on behalf of an individual; to the appropriate Federal, State, or local government agency investigating potential violations of civil or criminal law or regulation; and to Federal State, local and professional licensing boards in determining qualifications of individuals seeking to be licensed.

Collection of your Social Security Number is authorized by Executive Order 9397. Furnishing your Social Security Number is mandatory, failure to provide this information will prohibit data collection required by the Office of Personnel Management.

If your agency used the information furnished on this form for purposes other than those indicated above, it may provide you with an additional statement reflecting those purposes.

Benchmark Employee Performance Standards

Exceptional:

Employee demonstrates particularly excellent performance that is of such high quality that organizational goals have been achieved that would not have been otherwise. The employee demonstrates mastery of technical skills and a thorough understanding of the mission of the organization and has a fundamental impact on the completion of program objectives.

The employee exerts a major positive influence on management practices, operating procedures and/or program implementation, which contributes substantially to organizational growth and recognition. The employee plans for the unexpected and uses alternate ways of reaching goals. Difficult assignments are handled intelligently and effectively. The employee has produced an exceptional quantity of work, often ahead of established schedules and with little supervision.

The employee's oral and written communications are exceptionally clear and effective. He/she improves cooperation among participants in the workplace and prevents misunderstandings. Complicated or controversial subjects are presented or explained effectively to a variety of audiences so that desired outcomes are achieved.

Superior:

Employee demonstrates unusually good performance that exceeds expectations in critical areas and exhibits a sustained support of organizational goals. The employee shows a comprehensive understanding of the objectives of the job and the procedures for meeting them.

Effective planning by the employee improves the quality of management practices, operating procedures, task assignments and/or program activities. The employee develops and/or implements workable and cost-effective approaches to meeting organizational goals.

The employee demonstrates an ability to get the job done well in more than one way while handling difficult and unpredicted problems. The employee produces a high quantity of work, often ahead of established schedules with less than normal supervision.

The employee writes and speaks clearly on difficult subjects to a wide range of audiences and works effectively with others to accomplish organizational objectives.

Fully Successful:

The employee demonstrates good, sound performance that meets organizational goals. All critical activities are generally completed in a timely manner and supervisor is kept informed of work issues, alterations and status. The employee effectively applies technical skills and organizational knowledge to get the job done. The employee successfully carries out regular duties while also handling any difficult special assignments. The employee plans and performs work according to organizational priorities and schedules. The employee communicates clearly and effectively.

Minimally Successful:

The employee's performance shows serious deficiencies that requires correction. The employee's work frequently needs revision or adjustments to meet a minimally successful level. All assignments are completed, but often require assistance from supervisor and/or peers. Organizational goals and objectives are met only as a result of close supervision. On one or more occasions, important work requires unusually close supervision to meet organizational goals or needs so much revision that deadlines were missed or imperiled.

Employee shows a lack of awareness of policy implications or assignments; inappropriate or incomplete use of programs or services; circumvention of established procedures, resulting in unnecessary expenditure of time or money; reluctance to accept responsibility; disorganization in carrying out assignments; incomplete understanding of one or more important areas of the field of work; unreliable methods for completing assignments; lack of clarity in writing and speaking; and/or failure to promote team spirit.

Unsatisfactory:

The employee's performance is unsatisfactory. The quality and quantity of the employee's work are not adequate for the position. Work products do not meet the minimum requirements expected.

The employee demonstrates little or no contribution to organizational goals; failure to meet work objectives; inattention to organizational priorities and administrative requirements; poor work habits resulting in missed deadlines and/or incomplete work products; strained work relationships; failure to respond to client needs; and/or lack of response to supervisor's corrective efforts.